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10	Abstract In this work we investigate the thermal fluctuations of dissociated
10	dislocations in face-centered cubic metals. We first derive an analytical expression of
12	the energy of perturbed interacting partial dislocations. Combining this expression
13	with the equipartition theorem yields a prediction for the thermal fluctuations of
14	interacting partials. Comparing this prediction with atomistic calculations in nickel

allows to extract the core energy of the partials at finite temperature and as function of their orientation. We also show how to use these values to parameterize the energetics of perfect dislocations and clarify the scope of validity of representing dissociated dislocations as perfect dislocation lines, an approximation customarily made in dislocation dynamics approaches.

## 20 1. Introduction

The quantitative study of dislocation behavior is central to predict the mechanical behavior of metals and alloys (yield stress, strain hardening, etc.) and to build a quantitative multi-scale simulation framework for crystal plasticity. A key step of this framework consists in transitioning from an atomistic description of the crystal to a dislocation dynamics (DD) model where the positions of the dislocation segments become the degrees of freedom of the system. Describing quantitatively the dislocation energetics and behavior by means of this coarse-grained description is a challenging task.

The energy of a crystal containing a dislocation loop can be divided into two contributions, (i) the elastic energy coming from the stress and strain fields around the dislocation, and (ii) a core energy contribution that is attributed to the defected atoms in the highly distorted core region of the dislocation. If the dislocation is represented with the classical singular elastic theory [1], a small length parameter must be introduced as a cut-off radius around the dislocation core. The non-singular elastic dislocation theory [2] also rely on the introduction of a small length parameter representing the spatial
spreading distance of the Burgers vector. We note that Peierls-Nabarro type approaches
[3, 4, 5, 6, 7] and phase-field models for dislocations [8, 9] can be considered as nonsingular descriptions where the spreading length-scale is not prescribed but emerges
naturally from the model.

In multi-scale frameworks relying on DD methods, the dislocation core energy and 39 core length-scale are input of the coarse-grained DD model and are estimated from 40 atomistic calculations. The most common strategy to estimate these parameters for a 41 specific system consists in performing atomistic simulations of straight dislocations and 42 compare the atomistic energy (obtained either from classical or ab-initio calculations) 43 with the elastic energy of the same dislocation configuration (obtained with a singular or 44 non-singular elastic formalism, with isotropic or anisotropic elasticity depending on the 45 choice of the authors). The difference between the atomistic and elastic contributions is 46 then the dislocation core energy [10, 11, 12, 13, 14, 15, 16]. However, a limitation of this 47 approach is that, for straight dislocations, the choice of the core length-scale parameter 48 is arbitrary. Another strategy [17, 16] circumvents this limitation by comparing the 49 bow-out of dislocations pinned at their ends between atomistic and non-singular DD 50 simulations. This comparison allows to obtain the core length-scale that matches best 51 the atomistic bow-out. However, the influence of the pinning points on the dislocation 52 shape in atomistic calculations is difficult to assess and to reproduce quantitatively in 53 DD simulations, which may affect the final results. Moreover, in the literature cited 54 above, the atomistic calculations are usually performed at 0 K and do not yield the core 55 energy at finite temperature (with the exception of Ref. [14]). Finally, most studies 56 extract core parameters for the perfect dislocation while several dislocation problems -57 such as the interaction of a dissociated dislocations with a stacking fault tetrahedron 58 - require to account for the dissociation of the dislocation into partials [18, 19, 20]. 59 It is therefore desirable to extract core parameters for partial dislocations to better 60 parameterize DD models dedicated to these cases [13]. 61

In a recent contribution [21], the authors proposed to apply the capillary fluctuation 62 method [22, 23] to dislocations. The objective of this study was two-fold: (i) better 63 characterize the influence of long-range elasticity on the thermal fluctuations that 64 dictate the onset of thermally activated events; (ii) extract quantitative estimates 65 of dislocation parameters at finite temperature (core length-scale, core energy, drag 66 coefficient and inertial mass) to model dislocations quantitatively in higher-scale models 67 such as dislocation dynamics. However, this work was limited to slightly dissociated 68 dislocations as encountered in aluminum. Indeed, for larger dissociation distances, the 69 partials may fluctuate separately, which may not be representative of the behavior of 70 perfect dislocations. 71

In this work, we generalize the capillary fluctuation method to the case of interacting partial dislocations. We first derive an analytical expression for the interaction energy between two perturbed partials from the non-singular theory of Cai *et al.* [2]. This allows to apply the equipartition theorem and fit the core line tension parameter to

reproduce the equilibrium fluctuations obtained in molecular dynamics simulations at 76 different temperatures. Also, when dealing with dislocation microstructures containing 77 a large number of dislocations, most DD models rely on a common approximation: 78 representing dissociated dislocations as perfect dislocation lines [24, 25]. In the limit 79 of small perturbations, we show how to parameterize these simplified DD models in 80 order to best represent the energy of the dissociated dislocation. We also compare our 81 results to the common estimate consisting of neglecting the core energy and choosing 82 the non-singular core parameter arbitrarily (e.g. a = b). 83

## <sup>84</sup> 2. Energy of perturbed interacting partials dislocations

The first step of this study consists in deriving an analytical expression for the energy 85 of an arbitrary perturbation of the dissociated dislocation. Fig. 1 presents a sketch of 86 the configuration at hand: two partial dislocations of Burger vectors  $[b_s^{(1)}, b_e^{(1)}, 0]$  and 87  $[b_s^{(2)}, b_e^{(2)}, 0]$ , parallel on average to the  $\boldsymbol{x}$  direction and separated by an average distance 88 d. The position of both partials is described by the contours  $C_1$  and  $C_2$ . We also assume 89 that the system is L-periodic along the x direction and isolated in an infinite elastic 90 medium. We consider also that the distance d is a constant of the problem (e.g. the 91 average position of both partials remains fixed). Therefore, the stacking fault energy of 92 a slightly perturbed state is a constant equal to that of the unperturbed configuration. 93 In the context of thermal fluctuations, this assumption is equivalent to neglecting the 94 so-called breathing mode of the partials [26]. 95



Figure 1. Sketch of perturbed partial dislocations

The energy associated with given perturbation on the dislocation of length L can be decomposed as follows:

$$E_{tot} = E_{self}^{(1)} + E_{self}^{(2)} + E_{int}^{s-s} + E_{int}^{e-e} + E_{int}^{s-e},$$
(1)

where  $E_{self}^{(1)}$  and  $E_{self}^{(2)}$  are the self-energy of the perturbed partial dislocations and the terms denotes  $E_{int}$  refer to the different contributions (screw-screw, edge-edge and screw-edge respectively) of the interaction energy between partials. In the following paragraphs, we will focus on these different contributions and derive closed-form expression for each of them.

#### <sup>103</sup> 2.1. Self-energy of a perturbed dislocation

<sup>104</sup> The energy of the perturbation on an isolated dislocation has been derived in our <sup>105</sup> previous paper [21] and can be divided into a core and an elastic contributions:

$$E_{self}^{(i)} = E_{co}^{(i)} + E_{el}^{(i)}.$$
(2)

We consider that the contours  $C_1$  and  $C_2$  can be described by continuous functions  $h_1(x)$  and  $h_2(x)$  (see Fig. 1) and we neglect any perturbation in the z direction. For both partials, the core contribution is expressed as the energy difference between a perturbed and an unperturbed configurations for a section L of the dislocation:

$$E_{co}^{(i)} = \int_0^L \gamma(\tilde{\theta}(x))\sqrt{1 + h_i'(x)}dx - \int_0^L \gamma(\theta)dx$$
(3)

where  $\tilde{\theta}(x)$  and  $\theta$  denotes respectively the local and average dislocation character ( $\theta = 0^{\circ}$  for screw and  $\theta = 90^{\circ}$  for edge orientations) and  $\gamma(\theta)$  is the core energy that depends on the dislocation character. Assuming that the functions  $h_i(x)$  vary slowly (i.e.  $\forall x, |h'_i(x)| \ll 1$ ), we derive [22, 21]

$$E_{co}^{(i)} = \Gamma^{(i)}(\theta) \int_0^L h'_i(x)^2 dx$$
(4)

where  $\Gamma^{(i)}(\theta) = \gamma^{(i)}(\theta) + \gamma^{(i)''}(\theta)$  denotes the core line-tension.

To express Eq. (4) in a compact form, the functions  $h_1$  and  $h_2$  are expressed as Fourier series:

$$h_1(x) = \sum_{n=-N}^{N} C_n^{(1)} e^{ik_n x} \quad \text{with} \quad C_{-n}^{(1)} = \bar{C}_n^{(1)}$$
(5)

$$h_2(x) = \sum_{n=-N}^{N} C_n^{(2)} e^{ik_n x} \quad \text{with} \quad C_{-n}^{(2)} = \bar{C}_n^{(2)} \tag{6}$$

where  $k_n = 2\pi n/L$  and  $C_n^{(1)}$  and  $C_n^{(2)}$  are Fourier coefficients of  $h_1$  and  $h_2$  respectively (the overline symbol refers to the complex conjugate). The integer N can be chosen arbitrary large but physically, it is related to the characteristic length of the underlying atomistic lattice (e.g. N = L/b). With these expressions, we obtained:

$$E_{co}^{(i)} = L\Gamma^{(i)}(\theta) \sum_{n=1}^{N} k_n^2 |C_n|^2.$$
(7)

In addition to the core contribution, we also account for the elastic term that has been derived in our previous article [21]. The elastic energy is described assuming linear isotropic elasticity and using the non-singular theory of dislocation [2]. The elastic contribution is given by:

$$E_{el}^{(i)} = \frac{\mu L}{2\pi (1-\nu)a^2} \sum_{n=1}^{N_{max}} |C_n^{(i)}|^2 \left[ -\left(2b_s^{(i)^2}(1-\nu) + b_e^{(i)^2}\right) + a^2 k_n^2 K_0(ak_n) \left(2b_s^{(i)^2} - \nu b_e^{(i)^2}\right) + ak_n K_1(ak_n) \left((3-\nu)b_s^{(i)^2} - b_e^{(i)^2} \left(1 - \frac{a^2 k_n^2(1-\nu)}{2}\right)\right) - a^2 k_n^2 K_2(ak_n) \left(\frac{b_s^{(i)^2}(1+\nu)}{2} - b_e^{(i)^2}\right) \right]$$
(8)

where  $\mu$  and  $\nu$  are the isotropic Lamé elastic coefficients and a denotes the core lengthscale parameter of the non-singular theory. The functions  $K_0$ ,  $K_1$  and  $K_2$  are the modified Bessel function of the second kind.

#### 122 2.2. Interaction between screw components

The interaction energy between two dislocation loops is given by Eq. (31) of Ref. [2]. Focusing first on the interactions between the screw components, the interaction energy is given by

$$W_{int}^{s-s} = \frac{\mu b_s^{(1)} b_s^{(2)}}{8\pi} \int_{C_1} \int_{C_2} \partial_k \partial_k R_a dl_x dl'_x - \frac{\mu b_s^{(1)} b_s^{(2)}}{4\pi (1-\nu)} \int_{C_1} \int_{C_2} \partial_1 \partial_1 R_a dl_x dl'_x \qquad (9)$$
$$+ \frac{\mu b_s^{(1)} b_s^{(2)}}{4\pi (1-\nu)} \int_{C_1} \int_{C_2} (\partial_2 \partial_2 R_a + \partial_3 \partial_3) dl_y dl'_y$$

with  $R_a = \sqrt{a^2 + (x' - x)^2 + (y' - y)^2 + (z' - z)^2}$ . The energy associated with a perturbation is then expressed as the energy difference:

$$E_{int}^{s-s}(h_1, h_2) = W_{int}^{s-s}(h_1, h_2) - W_{int}^{s-s}(\mathbf{0}, \mathbf{0})$$
(10)

To simplify the integrals in this expression, we first assume that the perturbations are small:

•  $h_1(x)$  and  $h_2(x)$  vary slowly, i.e.  $\forall x, |h'_{1,2}(x)| = \mathcal{O}(\epsilon) \ll 1$ ,

•  $h_1(x)$  and  $h_2(x)$  are small compared to d, i.e.  $\forall x, |h_{1,2}(x)|/d = \mathcal{O}(\epsilon) \ll 1$ ,

leading to

$$\frac{(h_2(x') - h_1(x))^2}{a^2 + (x' - x)^2 + d^2} = \mathcal{O}(\epsilon^2)$$
(11)

$$\frac{d(h_2(x') - h_1(x))}{a^2 + (x' - x)^2 + d^2} = \mathcal{O}(\epsilon)$$
(12)

Within these limits, the integrands of Eq. (10) can be linearized and further simplified. We note that in the specific case where  $h_1 = h_2$ , the first condition of  $\forall x, |h'_{1,2}(x)| = \mathcal{O}(\epsilon) \ll 1$  is sufficient to fulfill conditions (11-12). To express Eq. (10) in a compact form, we use the expression of  $h_1(x)$  and  $h_2(x)$  as Fourier series of Eqs. (5-6). For each Fourier mode, the different terms of Eq. (10) can be expressed as functions of the modified Bessel function of the second kind. Finally, we obtain:

$$E_{int}^{s-s} = \frac{\mu b_s^{(1)} b_s^{(2)}}{2\pi} L \frac{(d^4 + 3a^2 d^2 - 2a^4)}{(a^2 + d^2)^3} \sum_{n=1}^N \left( |C_n^{(1)}|^2 + |C_n^{(2)}|^2 \right) + \frac{\mu b_s^{(1)} b_s^{(2)}}{2\pi (1 - \nu)} L \sum_{n=1}^N \left( C_n^{(1)} \bar{C}_n^{(2)} + C_n^{(2)} \bar{C}_n^{(1)} \right) \left[ 2k_n^2 K_0 (\sqrt{a^2 + d^2} k_n) + \frac{((3 - \nu) - d^2 k_n^2) k_n}{\sqrt{a^2 + d^2}} K_1 (\sqrt{a^2 + d^2} k_n) - \frac{\left( (6 - \nu) d^2 + \frac{(1 + \nu) a^2}{2} \right)}{a^2 + d^2} k_n^2 K_2 (\sqrt{a^2 + d^2} k_n) + \frac{\left( d^2 + \frac{(1 + \nu) a^2}{2} \right) d^2}{(a^2 + d^2)^{3/2}} k_n^3 K_3 (\sqrt{a^2 + d^2} k_n) \right]$$
(13)

Appendix A provides details for the derivation. We note that this interaction energy is consistent with the expression of the self-energy of a perturbed screw dislocation derived in Ref. [21]. Indeed, considering the same perturbations  $(C_n^{(1)} = C_n^{(2)} = C_n)$ and the same burger vectors  $(b_s^{(1)} = b_s^{(2)} = b_s)$  for both partials, and assuming d small compared to all other distances of the problem  $(d \ll a \text{ and } d \ll 1/k_n)$ , Eq. (13) tends towards:

$$E_{int}^{s-s} \simeq_{d \ll a, 1/k_n} \frac{\mu b_s^2 L}{\pi (1-\nu) a^2} \sum_{n=1}^N |C_n|^2 \left[ -2(1-\nu) + 2a^2 k_n^2 K_0(ak_n) + (3-\nu)ak_n K_1(ak_n) - \frac{1+\nu}{2} a^2 k_n^2 K_2(ak_n) \right]$$
(14)

<sup>145</sup> which is exactly twice<sup>‡</sup> the energy of a perturbation on a screw dislocation from Eq. (8).

#### 146 2.3. Interaction between edge components

<sup>147</sup> We proceed in the same way for the edge-edge interactions. Starting from the interaction <sup>148</sup> energy of two edge dislocations [2]:

‡ A self-energy can be defined as half the interaction energy of a dislocation with itself [1].

$$W_{int}^{e-e} = \frac{\mu b_e^{(1)} b_e^{(2)}}{8\pi} \int_{C_1} \int_{C_2} (\partial_k \partial_k R_a) dl_y dl'_y + \frac{\mu b_e^{(1)} b_e^{(2)}}{4\pi (1-\nu)} \int_{C_1} \int_{C_2} (\partial_1 \partial_1 R_a + \partial_3 \partial_3 R_a) dl_x dl'_x - \frac{\mu b_e^{(1)} b_e^{(2)}}{4\pi (1-\nu)} \int_{C_1} \int_{C_2} (\partial_2 \partial_2 R_a) dl_y dl'_y,$$
(15)

we follow the same steps as above to obtain the interaction energy of two perturbed edge dislocations:

$$E_{int}^{e-e} = \frac{\mu b_e^{(1)} b_e^{(2)} L}{2\pi (1-\nu)} \frac{(d^2-a^2)}{(a^2+d^2)^2} \sum_{n=1}^N \left( |C_n^{(1)}|^2 + |C_n^{(2)}|^2 \right) + \frac{\mu b_e^{(1)} b_e^{(2)} L}{2\pi (1-\nu)} \sum_{n=1}^N \left( C_n^{(1)} \bar{C}_n^{(2)} + C_n^{(2)} \bar{C}_n^{(1)} \right) \left[ -\nu k_n^2 K_0 (\sqrt{a^2+d^2}k_n) \right. + \frac{\left( (a^2 \frac{1-\nu}{2} + d^2) k_n^2 - 1 \right) k_n}{\sqrt{a^2+d^2}} K_1 (\sqrt{a^2+d^2}k_n) + \frac{4d^2 + a^2}{a^2 + d^2} k_n^2 K_2 (\sqrt{a^2+d^2}k_n) - \frac{d^2}{\sqrt{a^2+d^2}} k_n^3 K_3 (\sqrt{a^2+d^2}k_n) \right]$$
(16)

As before, this expression is consistent with the self-energy of an edge dislocation (Eq. (18-19) in the supplemental material of Ref. [21]).

#### <sup>153</sup> 2.4. Interaction between screw and edge components

<sup>154</sup> Applying again the same strategy to the screw-edge interaction yields:

$$E_{int}^{s-e} = \frac{\mu(b_s^{(1)}b_e^{(2)} + b_s^{(2)}b_e^{(1)})L}{2\pi(1-\nu)} \sum_{n=1}^N i\left(C_n^{(1)}\bar{C}_n^{(2)} - C_n^{(2)}\bar{C}_n^{(1)}\right) \left[-dk_n^3 K_0(\sqrt{a^2+d^2}k_n) - \frac{(2-\nu)dk_n^2}{\sqrt{a^2+d^2}}K_1(\sqrt{a^2+d^2}k_n) + \frac{d^3 + \frac{a^2d(1+\nu)}{2}}{a^2+d^2}k_n^3K_2(\sqrt{a^2+d^2}k_n)\right].$$
 (17)

We note that  $C_n^{(1)}\bar{C}_n^{(2)} - C_n^{(2)}\bar{C}_n^{(1)}$  is a pure imaginary number, hence  $E_{int}^{s-e}$  is real, as expected.

## <sup>157</sup> 3. Equipartition theorem and equilibrium fluctuations

Combining the different interaction terms Eqs. (13),(16) and (17) with the self energy Eqs. (7) and (8) of both partials, the total energy of a perturbed dissociated dislocation can be written as

$$E_{tot}(h_1, h_2) = \sum_{n=1}^{N} a_n^{(1)} |C_n^{(1)}|^2 + a_n^{(2)} |C_n^{(2)}|^2 + b_n \left( C_n^{(1)} \bar{C}_n^{(2)} + C_n^{(2)} \bar{C}_n^{(1)} \right) + c_n i \left( C_n^{(1)} \bar{C}_n^{(2)} - C_n^{(2)} \bar{C}_n^{(1)} \right)$$
(18)

where  $a_n^{(1)}$ ,  $a_n^{(2)}$ ,  $b_n$  and  $c_n$  are real numbers which depends on the material parameters 161  $(\mu, \nu, d, b^{(1)}, b^{(2)})$  and the wave-vector. 162

We note that the interaction factors  $b_n$  and  $c_n$  are of the same order of magnitude 163 than  $a_n^{(1)}$  and  $a_n^{(2)}$  for wave-lengths of the order or larger than the dissociation distance 164  $(k_n d \sim 1)$ , stressing the need to account for the interaction energy of the partials to 165 reproduce the correct energy of the system. However, the influence of these interaction 166 terms decreases for negligible wave lengths in the limit  $k_n d \gg 1$ . 167

The equipartition theorem can not be applied directly to  $C_n^{(1)}$  and  $C_n^{(2)}$  because 168 these are not independent quadratic degrees of freedom. To overcome this obstacle, we 169 first write explicitly the true degrees of freedom of the system, that are the real and 170 imaginary parts of the complex amplitudes:  $C_n^{(1)} = A_n^{(1)} + iB_n^{(1)}$  and  $C_n^{(2)} = A_n^{(2)} + iB_n^{(2)}$ . 171 Then, Eq. (18) can be written in the following vectorial form: 172

$$E_{tot} = \sum_{n=1}^{N} \left( A_n^{(1)} B_n^{(1)} A_n^{(2)} B_n^{(2)} \right) \begin{pmatrix} a_n^{(1)} & 0 & b_n & c_n \\ 0 & a_n^{(1)} & -c_n & b_n \\ b_n & -c_n & a_n^{(2)} & 0 \\ c_n & b_n & 0 & a_n^{(2)} \end{pmatrix} \begin{pmatrix} A_n^{(1)} \\ B_n^{(1)} \\ A_n^{(2)} \\ B_n^{(2)} \end{pmatrix} = \sum_{n=1}^{N} X_n^T M_n X_n.$$
(19)

Assuming that the matrices  $M_n$  are definite positive (in practice, this was shown to 173 be true for all wave-numbers in the case of Ni), they can be rewritten using the Cholesky 174 decomposition: 175

$$E_{tot} = \sum_{n=1}^{N} X_n^T L_n^T L_n X_n = \sum_{n=1}^{N} U_n^T U_n,$$
(20)

with  $U_n = L_n X_n$ . The components  $u_n^{(i)}$  of  $U_n$  are now independent degrees of freedom, 176 and the equipartition theorem applies: 177

$$\forall n, \,\forall i, \quad \langle |u_n^{(i)}|^2 \rangle = kT/2 \tag{21}$$

$$\forall n, \ \forall i \neq j, \quad \langle u_n^{(i)} u_n^{(j)} \rangle = 0.$$
(22)

Finally, by linear combination, we obtain the average of the Fourier coefficients and 178 predict the amplitudes of the equilibrium perturbations of both partials as a function 179 of temperature: 180

8

$$\langle |C_n^{(1)}|^2 \rangle = \frac{kT}{2} \sum_{i=1}^4 (L_{1i}^{-1})^2 + (L_{2i}^{-1})^2$$
 (23)

$$\langle |C_n^{(2)}|^2 \rangle = \frac{kT}{2} \sum_{i=1}^4 (L_{3i}^{-1})^2 + (L_{4i}^{-1})^2.$$
 (24)

This analytical prediction of the equilibrium fluctuations can now be compared with the
 fluctuation amplitudes obtained from molecular dynamics simulations.

#### <sup>183</sup> 4. Molecular dynamics simulations in Ni

The next step consists in running molecular dynamics (MD) simulations of dislocations 184 to extract the average amplitude of the thermal fluctuations and compare with the 185 theoretical prediction. Concerning the choice of the system, aluminum would be a 186 good candidate because of its elastic isotropy. However, in our previous work [21], 187 we showed that due to the small dissociation distance, spontaneous constriction of the 188 partials occurs even at moderate temperature (T = 300 K). Therefore, the thermal 189 fluctuations in aluminum do not fulfill the condition of Eq. (12), making the analytical 190 treatment proposed in section 2 inadequate. Instead, we will consider nickel that has 191 the advantage of presenting a larger dissociation distance. The Embedded Atom Model 192 (EAM) potential proposed by Mishin et al. [27] was chosen because it reproduces 193 satisfactorily the appropriate elastic constants and stacking fault energy at 0 K and is 194 therefore expected to yield reliable results for dislocations properties. 195

In the following, three different temperatures are considered, 450 K, 600 K and 750 K and simulations are run at zero pressure. These relatively high temperatures are considered in order to limit the influence of lattice friction on the partial dislocations, which is not accounted for in our analysis.

We first compute the temperature dependence of the elastic properties to carefully 200 set the values of elastic constants  $\mu$  and  $\nu$ . After computing the temperature dependence 201 of the lattice parameter (reported in Tab. 1), elastic constants are deduced from NVT 202 runs by averaging the stress arising after a small deformation  $\epsilon = 10^{-3}$  of a large 203 simulation cell. The standard deviations associated to the measure of the elastic 204 constants are smaller than 1 GPa. The estimates of the elastic constants are reported 205 in Tab. 1 together with the cubic anisotropy coefficient  $A = 2C_{44}/(C_{11} - C_{12})$  and the 206 isotropic moduli obtained from the Bacon-Scattergood average [28, 29]. Note that the 207 significant increase of the elastic constant between 0 and 450 K is not realistic and is an 208 artifact of the interatomic potential. 209

In order to characterize precisely the fluctuating properties of partial dislocations, we consider ten different dislocation orientations ranging from screw to edge. In the following,  $\phi$  and  $\theta$  denote respectively the character of the perfect and partial dislocations. The MD simulations are performed as follows: first we use the software

T [K]	$a_{lat}$ [Å]	$C_{11}$ [GPa]	$C_{12}$ [GPa]	$C_{44}$ [GPa]	A	$\mu~[{\rm GPa}]$	ν
0	3.52	248	148	125	2.49	79	0.362
450	3.5388	292	173	147	2.45	94	0.359
600	3.5447	287	171	145	2.49	92	0.361
750	3.5507	281	169	141	2.52	89	0.364

**Table 1.** Lattice constant and elastic properties of Ni [27] as function of temperature.  $A = 2C_{44}/(C_{11} - C_{12})$  is the cubic anisotropy coefficient.

Babel [30] to introduce a dislocation dipole in a large simulation cell containing between 214 6 and 7 million atoms depending on the dislocation orientation. For the various 215 dislocation characters, the dimensions of the simulation cells are chosen such that the 216 length of the dislocation,  $L \simeq 210$  Å is approximately half the distance between the 217 dislocations of the dipole and their periodic images ( $L_d \simeq 420$  Å). This choice limits the 218 influence of the image dislocations on the fluctuations. After a first relaxation step, the 219 system is equilibrated in the NPT ensemble at the target temperature and zero pressure 220 during 20 ps. The dimensions of the simulation cell are then kept constant during a 221 100 ps NVT run during which the dislocation fluctuations are recorded. Keeping the 222 same simulation dimensions (especially the length of the dislocation L) facilitates the 223 analysis of dislocation fluctuations. It is checked that during the NVT part of the 224 simulation, all the components of the average stress tensor remain negligible. 225

Durin the NVT simulations, the position of the partials is extracted every 0.1 ps 226 using the Dislocation Analysis (DXA) algorithm [31, 32] implemented in Ovito [33]. 227 No post-processing or smoothing of the dislocation line is applied in order to retain 228 the raw serrated dislocation path extracted from DXA. We first wish to check that 229 in the temperature range considered here, the average dissociation distance does not 230 fluctuate significantly in time, as assumed in our analytical approach. Fig. 2 displays 231 the evolution of the dissociation distance as function of the dislocation character at 232 450 K and 750 K. The error bars reported in Fig. 2 show one standard deviation of the 233 dissociation distance distribution. Even at 750 K, the standard deviation remains of the 234 order of 5% of the dissociation distance, which justifies to consider d as a constant. 235

During the MD runs, we also record the shape of both partials. Fig. 3.a shows as an 236 illustration the position of the partial dislocations (green) and the atoms belonging to the 237 stacking fault (red) for an instantaneous configuration of a  $\phi = 30^{\circ}$  mixed dislocation 238 at 600 K. From the dislocation lines extracted from DXA, it is straightforward to obtain 239 the equilibrium power spectra of the fluctuations by averaging over a large number of 240 snapshots (in practice 2000) obtained during the MD runs. Fig. 3.b displays the power 241 spectra of both partials of a  $30^{\circ}$  mixed dislocation. We note that because of their 242 different characters, the power spectra of the partials differ: the fluctuation amplitude 243 of the  $\theta = 0^{\circ}$  partial is significantly lower than for  $\theta = 60^{\circ}$ , which is directly visible in 244 Fig. 3.a. 245

<sup>246</sup> The next step consists in fitting the MD power spectra with the analytical estimate



Figure 2. Evolution of the dissociation distance with the character  $\phi$  of the perfect dislocation at 450 K and 750 K.



Figure 3. (a) Snapshot of a fluctuating  $30^{\circ}$  mixed dislocation at T = 600 K. Atoms belonging to the stacking fault and the partial cores extracted from DXA are shown. (b) Power spectra obtained for both partials (data points) and fits based on the analytical prediction (dashed lines). (c) Core line-tension extracted for various partial dislocation characters (data point) and fit with Eq. (25) (dashed line). The line energy obtained from the fit is shown as a continuous blue line.

of Eqs. (23-24). In order to be consistent, the core parameter should be the same for 247 all partials. Therefore, the power spectra obtained for all partial orientations are fitted 248 against the analytical prediction and the adjustable parameters are the line tensions 249 (which depend on the character) and a unique non-singular core parameter a. We 250 restrict ourselves to the long wave-lengths ( $\lambda > 16$  Å) regime because the serrations of 251 the dislocation lines obtained from DXA (see Fig. 3.a) can overestimate the fluctuation 252 spectrum at short wave-lengths. For the  $\phi = 30^{\circ}$  orientation, the fitted power spectra 253 are shown as dashed lines in Fig. 3.b. We stress the very high quality of the fits obtained 254 for all the orientations. 255

The fits performed for all the orientations yield a unique fitted parameter a = 3.13 Å

and a character dependent line-tension  $\Gamma(\theta)$  shown in Fig. 3.c at T = 600 K. We note 257 that different perfect dislocations can dissociate to form the same partial character (as 258 an example, the edge and  $\phi = 60^{\circ}$  mixed dislocations both form a  $\theta = 30^{\circ}$  partials), 259 which explains why different data points have the same orientation  $\theta$  on Fig. 3.c. Our 260 analysis yields very close values of the core line tensions for the same partial orientation, 261 indicating the validity of our approach, and enabling to estimate an uncertainty (of the 262 order of  $\pm 5\%$ ) on the line tensions extracted from the power spectra. This data set is 263 then fitted to a continuous periodic function of the form  $\S$ : 264

$$\Gamma(\theta) = p_0 + \sum_{n=1}^{N_m} p_n \cos\left(2n\theta\right)$$
(25)



Figure 4. (a) Core line tension as a function of the partial character at different temperatures. (b) Core energy obtained from the fit of panel with best choice of non-singular parameter. (c) Core energy obtained by fixing the core parameter value to a = 3.13Å.

The number of modes  $N_m$  can be chosen arbitrarily, but in practice, we used  $N_m = 8$  modes to match the evolution of the data points while avoiding over-fitting. The resulting function is shown as a dash line in Fig. 3.c. From this fit, it is then possible to deduce the line energy  $\gamma(\theta)$  (shown with a solid blue line in Fig. 3.c) given by:

$$\gamma(\theta) = p_0 + \sum_{n=1}^{N_m} \frac{p_n}{1 - 4n^2} \cos(2n\theta)$$
(26)

to satisfy the relation  $\Gamma(\theta) = \gamma(\theta) + \gamma''(\theta)$ . We note that  $\gamma(\theta)$  is extracted at finite temperature and can therefore be referred to as a core free energy. Core line tensions and free energies at various temperatures are shown in Fig. 4.a and Fig. 4.b respectively. We note that the optimal core parameter obtained from the fits increases with temperature, from a = 2.74 Å at T = 450 K to a = 3.22 Å at T = 750 K, and remains of the order of the lattice spacing, which is consistent with the localized nature of partial dislocation cores.

§ the form is chosen based on the symmetry of  $\Gamma(\theta)$  which is necessarily  $\pi$ -periodic and symmetric with respect to  $\theta = 0^{\circ}$  and  $\theta = 90^{\circ}$ 

It is difficult to compare core energies obtained at different temperatures if the 277 non-singular parameters are different (see Fig. 4.b). Indeed, the choice of a controls 278 the amount of line energy carried respectively by the elastic term and the core 279 term; therefore, if a is arbitrarily increased, the line energy coming from the elastic 280 contribution decreases and consequently the core energy has to increase to reproduce 281 the dislocation behavior obtained atomistically. To better compare the core energies 282 at different temperatures, we fit the power spectra with a prescribed value a = 3.13 Å. 283 The resulting core free energies are displayed in Fig. 4.c and are very close to one 284 another. This demonstrates that the core contribution does not vary significantly in the 285 temperature range explored here. 286

In addition, these values of the core energies are compared with estimates obtained 287 at 0 K from molecular statics. Following our previous work [15], core energies at 0 K 288 are obtained by comparing the atomistic energy of a relaxed atomistic cell containing a 289 dislocation dipole with the elastic energy obtained from the non-singular representation 290 of dislocations (computed numerically in order to use anisotropic elasticity). Removing 291 the stacking fault contribution estimated as  $E_{sf}d$  (where  $E_{sf}$  is the stacking fault energy) 292 yields the core energy of partials shown in Fig. 4.c. We find that, the 0 K estimates fall 293 within 30% of those obtained from the fluctuations despite the differences between both 294 approaches. The discrepancy between both methods can be attributed to temperature 295 effects and to the approximations used in the molecular statics method: in particular, 296 the fault separating both partials is assumed to be perfect, which may not be accurate 297 because of the evolution of the disregistry close to the partial cores. 298

#### <sup>299</sup> 5. Core parameters for perfect dislocations

In the previous section, we focused on partial dislocations and obtained estimates for 300 their non-singular parameter and core free energy. However, when dealing with length-301 scales characteristics of the dislocation microstructure (typically of the order of 1  $\mu$ m), it 302 become resource-consuming to integrate the dynamics of both partials. For this reason, 303 a common approximation consists in modeling dislocations in FCC crystals as perfect 304 dislocations [24, 34, 35]. Therefore, one may ask if it is possible to derive quantitative 305 parameters for the perfect dislocation based on the knowledge of the partials discussed 306 in the previous section. In the following, the subscript pa (resp. pe) refers to the partial 307 (resp. perfect) description of the dislocation. In this section, we will see how to choose 308 the core parameters  $a_{pe}$  and  $\Gamma_{pe}(\phi)$ , based on the knowledge of  $a_{pa}$ ,  $\Gamma_{pa}(\theta)$  and d (the 309 dissociation distance). 310

To this end, we compare the energy of a dissociated dislocation slightly perturbed by a sine perturbation  $h_1(x) = h_2(x) = A \sin(kx)$  with the energy of the same perturbation for a perfect dislocation. Before going into the details of this comparison, we must discuss the different length-scales of the system and clarify the domain of validity of the expression derived here. The problem at hand contains three different length-scales, which are the dissociation distance d, the wave-length  $\lambda = 2\pi/k$  and the amplitude A

of the perturbation. In this work, we always consider the case of small perturbations 317  $A \ll \lambda$ , which is one of the assumptions of our analytical approach. However, the 318 magnitude of the dissociation distance d compared to A and  $\lambda$  translates into different 319 situations: Fig. 5.a where  $A \ll \lambda < d$  represents a perturbation of small wave-length and 320 small amplitude compared to d. In this situation, the partial description is accurate but 321 we will see that using a perfect description leads to inevitable errors. When  $A < d < \lambda$ 322 (Fig. 5.b), the interactions between partials become important, but the character of 323 the perfect dislocation does not change significantly, which allows to assume that the 324 stacking fault energy remains unchanged between the unperturbed and perturbed cases. 325 In this situation, both partial and perfect descriptions describe accurately the dislocation 326 energy. In the last case depicted in Fig. 5.c, the dissociation distance is small compared 327 to both the amplitude and length-scale of the perturbation. In this situation, the 328 character of the perfect dislocation changes significantly and so does the dissociation 329 distance which depends on the dislocation character. Therefore, the perturbation leads 330 to an additional energy contribution which comes from changes of stacking fault width 331 along the line, and is negligible in cases (a) and (b). In the following, we will restrict 332 ourselves to the cases (a) and (b) for which the analytical expression derived in section 333 2 is valid. 334



Figure 5. Different ordering of length-scales translate into different situations.

Let us now consider a dissociated dislocation with both partials perturbed by the same sine wave of amplitude A and wave-vector k. The different contributions to the energy are the self-energy of both partials and their interaction energy. In the limit of  $a_{pa}k \rightarrow 0$ , Taylor expansions of the Bessel functions yield (see Supplemental Materials of Ref. [21]):

$$E_{self}^{el}(\boldsymbol{b}_{pa}^{(i)}) \simeq \frac{\mu b_{pa,s}^{(i)}^{2} A^{2} L k^{2}}{16\pi (1-\nu)} (1+\nu) \left[ -\frac{1-\nu}{1+\nu} - \gamma_{e} - \ln\left(\frac{ka_{pa}}{2}\right) \right]$$

$$+ \frac{\mu b_{pa,e}^{(i)}^{2} A^{2} L k^{2}}{16\pi (1-\nu)} (1-2\nu) \left[ \frac{1}{2} - \gamma_{e} - \ln\left(\frac{ka_{pa}}{2}\right) \right] + \mathcal{O}(k^{4} a_{pa}^{4})$$
(27)

Similar expressions can be found for the interaction terms between partials in the limit  $k\sqrt{a_{pa}^2 + d^2} \rightarrow 0$ , i.e. for perturbation wave-lengths large compared to the dissociation distance and the non-singular parameter.

$$E_{int}^{el}(\boldsymbol{b_{pa}^{(1)}}, \boldsymbol{b_{pa}^{(2)}}) \simeq \frac{\mu b_{pa,s}^{(1)} b_{pa,s}^{(2)} A^2 L k^2}{16\pi (1-\nu)} (1+\nu) \left[ \frac{(1-\nu)}{(1+\nu)} \frac{d^4 + a_{pa}^2 d^2 - 2a_{pa}^4}{(a_{pa}^2 + d^2)^2} - 2\gamma_e - 2\ln\left(\frac{k\sqrt{a_{pa}^2 + d^2}}{2}\right) \right] \\ + \frac{\mu b_{pa,e}^{(1)} b_{pa,e}^{(2)} A^2 L k^2}{16\pi (1-\nu)} (1-2\nu) \left[ \frac{a_{pa}^2 + d^2/(1-2\nu)}{a_{pa}^2 + d^2} - 2\gamma_e - 2\ln\left(\frac{k\sqrt{a_{pa}^2 + d^2}}{2}\right) \right] \\ + \mathcal{O}(k^4 (a_{pa}^2 + d^2)^2) \tag{28}$$

An interesting (and reassuring) point is that in the limit of vanishing dissociation distance  $d \ll a$ , we find  $E_{int}^{el}(\boldsymbol{b}_p^{(i)}, \boldsymbol{b}_p^{(i)}) = 2E_{self}^{el}(\boldsymbol{b}_p^{(i)})$ , which is consistent with the definition of the self-energy of a dislocation as half the interaction energy with itself [1]. To these elastic terms, we add the core contributions of both partials given by

$$E_{core}^{(i)} = A^2 L k^2 \frac{\Gamma_{pa}^{(i)}}{4}$$
(29)

where  $\Gamma_{pa}^{(i)}$  is the core line tension of partial (i).

We note that in the present case where  $h_1(x) = h_2(x)$ , the cross interaction term between the screw and edge components  $E_{int}^{s-e}(b_s^{(1)}, b_s^{(2)})$  is null. Also, in the limit of small amplitudes (cases (a) and (b) in Fig. 5), the stacking fault does not contribute to the total energy because the area between partials does not change when their shape is modified by a periodic perturbation. Finally, in the limit of large wave-lengths, the total energy of the perturbed partials can be expressed by combining Eqs. (27-29):

$$E_{pa} = E_{self}^{el}(\boldsymbol{b_p^{(1)}}) + E_{self}^{el}(\boldsymbol{b_{pa}^{(2)}}) + E_{int}^{el}(\boldsymbol{b_{pa}^{(1)}}, \boldsymbol{b_{pa}^{(2)}}) + E_{core}^{(1)} + E_{core}^{(2)}$$
(30)

$$\simeq A^2 L k^2 \left[ \alpha_{pa}(a_{pa}) + \beta_{pa} \ln(1/k) + \frac{\Gamma_{pa}^{(1)} + \Gamma_{pa}^{(2)}}{4} \right]$$
 (31)

where  $\alpha_{pa}$  and  $\beta_{pa}$  are coefficients that depend on material parameters but not on the wave-vector. Notably  $\alpha_p$  depends on the core parameter of the partials while  $\beta_{pa}$  does not.

Similarly, the energy of the perturbation of amplitude A of a perfect dislocation can be estimated in the limit of small wave-vectors, yielding a similar expression:

$$E_{pe} = E_{self}^{el}(\boldsymbol{b_{pe}}) + E_{pe}^{core}$$
(32)

$$\simeq A^2 L k^2 \left[ \alpha_{pe}(a_{pe}) + \beta_{pe} \ln(1/k) + \frac{\Gamma_{pe}}{4} \right]$$
(33)

We note that based on the expressions of Eq. (27-29), we have  $\beta_{pa} = \beta_{pe}$ , these parameters being independent of the non-singular parameter. Therefore, to reproduce the long-distance behavior of the energy of the dissociated system with a single perfect dislocation, we have the condition:

$$\Gamma_{pe} = \Gamma_{pa}^{(1)} + \Gamma_{pa}^{(2)} + 4 \left( \alpha_{pa}(a_{pa}) - \alpha_{pe}(a_{pe}) \right)$$
(34)

This relation uniquely defines  $\Gamma_{pe}$  as function of  $a_{pe}$  and insures that the longrange behavior is correctly reproduced. Looking at Eqs. (31) and (33), one may claim that for very large wave-lengths, the log terms dominate and both expressions are equivalent because  $\beta_{pa} = \beta_{pe}$ . However, this term grows logarithmically with 1/k, and remains of the order of magnitude of the other terms, even for micron-scale wavelengths. Therefore, it is preferable to ensure that Eq. (34) is satisfied in order to model quantitatively dislocations on micro-meter length-scales.

We note that the parameter  $a_{pe}$  can be chosen freely to reproduce as accurately as 370 possible the energy of the dissociated dislocation at short or medium wave-lengths. We 371 fit  $a_{pe}$  based on all ten orientations and obtain  $a_{pe} = 6.27$  Å from the data obtained at 372 600 K for the partials. Fig. 6.a and c displays the fitted energy of the perfect dislocation 373 for screw and edge orientations (blue lines) and compares them with the energy of the 374 partials description (red lines). The error associated with representing the dissociated 375 dislocation as a perfect line is shown with a blue dashed line. A threshold of 20% error 376 is defined (dashed vertical lines in Fig. 6.a and c) and the corresponding wave-vector 377 is denoted  $k_{20\%}$ . We note that the critical wave-vector  $k_{20\%}$  scales like the inverse of 378 the dissociation distance. While the error goes quickly to 0 for  $k < k_{20\%}$ , the perfect 379 description fails to reproduce the energy of the perturbation for  $k > k_{20\%}$ . The error 380 associated to small wave-lengths is inevitable and shows that using a perfect dislocation 381 representation is hazardous when considering dislocation curvature radii of the order of 382 (or smaller than)  $2\pi/k_{20\%}$ , i.e. about 2 nm and 7 nm for the screw and edge dislocations 383 respectively. This small wave-length regime corresponds to the case depicted in Fig. 5.a. 384

Fig. 6.c and d also shows with black curves the energy of a perturbation when the 385 core parameter is chosen arbitrary (e.g. a = b) and the core contribution is neglected, 386 which is a common approximation in some dislocation dynamics studies [36, 37]. First, 387 this approach leads to significant errors at small wave-lengths. Especially, the energy of 388 a perturbation becomes negative for small wave-lengths, which explains the divergence 389 of the black curves on Fig. 6.b and 6.d. As explained in Ref. [21], this artifact of 390 the non-singular dislocation theory is overcome by adding a positive core contribution 391 that is predominant at small wave-lengths. In addition, we stress out that the elastic 392 estimate fails to converge towards the appropriate behavior for large wave-lengths. For 393 the edge character, it retains an error as high as 20% at micron-scale wave-lengths. In 394 dislocation dynamics models, such discrepancy (which comes from neglecting the core 395 contribution) will translate into a systematic error on the critical stresses to escape from 396 pinned configurations. 397

The curves shown in Fig. 6.a and b rely on the choice of  $\Gamma_{pe}$  based on Eq. (34). This can be done for any dislocation character and the evolution of  $\Gamma_{pe}$  as a function of the



Figure 6. Comparison between different descriptions of the dislocation. (a-b) Comparison between the partial description and the perfect approximation for the screw and edge characters. The energy is shown in log scale with continuous lines while the error associated with the perfect approximation is shown on a linear scale with a dashed line. (c-d) Comparison between the partial description and an elastic estimate of a perfect dislocation with a = b and neglecting the core contribution. Data obtained at 600 K are used.

<sup>400</sup> perfect dislocation character is shown in Fig. 7. Therefore, the method proposed here <sup>401</sup> yields an optimal choice of parameters (a and  $\Gamma(\theta)$ ) that minimizes the error attributed <sup>402</sup> to the representation of a dissociated dislocation as a single perfect dislocation line. <sup>403</sup> However, we stress out again that these parameters are valid only for small amplitude <sup>404</sup> perturbations as represented in Fig. 5.b.

Now that parameters have been deduced for the perfect dislocation, we can test 405 if the power spectra of the perfect dislocation fluctuations can be predicted by the 406 theoretical estimate derived in Ref. [21] where the core parameters obtained above are 407 used. Fig. 8.a and b displays this comparison for the screw and edge dislocations. 408 In both cases, the predicted fluctuations (dashed curve) matches the fluctuations 409 obtained from MD for wave-vectors smaller than  $k_{20\%}$ , i.e. in this limit, representing a 410 dissociated dislocation as a perfect dislocation leads to an acceptable error. However, 411 for wave-vectors greater than  $k_{20\%}$ , a large error is associated to the perfect dislocation 412 representation, which explains the growing discrepancy between the predicted power 413 spectrum and the MD results. 414

The results shown in Fig. 8 demonstrate that for dissociated dislocations, it may be hazardous to extract core parameters from the fluctuations of perfect dislocations. Such strategy requires to consider fluctuations with wave-lengths larger than the dissociation



Figure 7. Core energy of the perfect dislocation obtained at 600 K using Eq. (34) and corresponding line energy (blue line).



Figure 8. Power spectra of the perfect dislocation obtained from molecular dynamics simulations (symbols) and estimated from theory by considering the fitted core parameters derived above for (a) the screw case and (b) the edge case.

distance, which may be very expensive computationally in the case of FCC metals such as nickel, copper or silver. Therefore, the strategy presented here, which consists in investigating first the partial fluctuations provides an efficient tool to obtain core parameters for perfect dislocations.

# 422 Conclusion

This work builds on our previous contribution [21] in which we investigated the equilibrium fluctuations of a perfect dislocation line and compared with molecular dynamics simulations in aluminum. In the present paper, we extend this work to the case of partial dislocations in FCC metals. We first derive an analytical expression for the energy of interacting partials based on the non-singular dislocation framework of Cai et al. [2]. Based on the equipartition theorem, we derive a prediction for the amplitude

of the thermal fluctuations of interacting partials. Comparing this analytical prediction 429 with the fluctuations recorded in molecular dynamics simulations in pure nickel yields 430 quantitative estimates for the core parameters (non-singular core radius and core line-431 tension) associated to partials as function of temperature. We note that investigating 432 curved fluctuating dislocations allows to extract an optimal value for the non-singular 433 parameter, in contrast with other approaches focusing on straight dislocations where 434 the non-singular parameter is chosen arbitrarily [10, 11, 12, 13, 14, 15]. We also show 435 how the parameters of the partials can be used to determine core parameters for perfect 436 dislocations of various orientations. We note however that these parameters are only 437 valid for small dislocation perturbation. As clarified in section 5, this representation is 438 accurate for wave-lengths larger than a critical distance of the order of the dissociation 439 distance but fails to represent perturbations of short wave-lengths. Finally, we stress 440 out that the classical approximation consisting of neglecting the core contribution and 441 choosing a non-singular parameter a = b leads to non-negligeable errors, even on large 442 micrometer wave-lengths. 443

The work performed here proposes a rigorous way to obtain core parameters for 444 partial dislocations, enabling to model quantitatively dislocations on small nanometer 445 length-scales in a dislocation dynamics framework that relies on a considerably reduced 446 number of degrees of freedom compared to atomistic calculations. A natural extension of 447 this work would be to investigate atomistic mechanisms such as screw dislocation cross-448 slip with such a quantitative model. Our approach allows to incorporate long-range 449 elastic effects in contrast with previous models where dislocations are described as elastic 450 lines [38, 39, 40]. Another prospect of this work applies to the interaction of dissociated 451 dislocations with a solid solution. In most FCC alloys, the dislocation partials interact 452 with the underlying solutes and roughen [41, 42]. The analytical expression derived 453 here can be used to investigate the interaction of a dissociated dislocation with an 454 underlying solute field and could therefore propose a new treatment of the roughening 455 of a dislocation line and its influence on plastic events. Finally, the analytical treatment 456 proposed here can be generalized to the case of N dislocations interacting elastically. 457 This type of approach would enable to investigate efficiently the collective motion of 458 dislocations in a single slip configuration. 459

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# <sup>465</sup> Appendix A. Calculation details for the interaction energy

The appendix provides more details for the derivation of Eq. (13). Starting from Eq. (9), we consider that the contours  $C_1$  and  $C_2$  can be described by continuous functions  $h_1(x)$ and  $h_2(x)$ . The energy of the perturbation is given by the difference between the energy of the perturbed state and the ground state and can be written as:

$$E_{int}^{s-s}(h_1, h_2) = W_{int}^{s-s}(h_1, h_2) - W_{int}^{s-s}(\mathbf{0}, \mathbf{0})$$
(A.1)

$$= -\frac{\mu\nu b_s^{(1)} b_s^{(2)}}{4\pi(1-\nu)} \int_0^L \int_{-\infty}^{+\infty} \frac{1}{\tilde{R}_a} - \frac{1}{\bar{R}_a} dx dx'$$
(A.2)

$$-\frac{\mu b_s^{(1)} b_s^{(2)}}{8\pi (1-\nu)} (2d^2 + (1+\nu)a^2) \int_0^L \int_{-\infty}^{+\infty} \frac{1}{\tilde{R}_a^3} - \frac{1}{\bar{R}_a^3} dx dx'$$
(A.3)

$$+\frac{\mu b_s^{(1)} b_s^{(2)}}{4\pi (1-\nu)} \int_0^L \int_{-\infty}^{+\infty} ((x'-x)^2 + a^2 + d^2) \left(\frac{1}{\tilde{R}_a^3} - \frac{1}{\bar{R}_a^3}\right) dx dx' \qquad (A.4)$$

$$+\frac{\mu b_s^{(1)} b_s^{(2)}}{2\pi (1-\nu)} \int_0^L \int_{-\infty}^{+\infty} \frac{h_1'(x) h_2'(x)}{\tilde{R}_a} dx dx'$$
(A.5)

$$-\frac{\mu b_s^{(1)} b_s^{(2)}}{4\pi (1-\nu)} \int_0^L \int_{-\infty}^{+\infty} \frac{(h_2(x') - h_1(x))^2 h_1'(x) h_2'(x)}{\tilde{R}_a^3} dx dx'$$
(A.6)

$$-\frac{\mu b_s^{(1)} b_s^{(2)}}{4\pi (1-\nu)} \int_0^L \int_{-\infty}^{+\infty} d^2 \frac{h_1'(x) h_2'(x)}{\tilde{R}_a^3} dx dx'$$
(A.7)

$$-\frac{\mu b_s^{(1)} b_s^{(2)}}{4\pi (1-\nu)} \int_0^L \int_{-\infty}^{+\infty} 2d \frac{(h_2(x') - h_1(x)) h_1'(x) h_2'(x')}{\tilde{R}_a^3} dx dx'$$
(A.8)

with  $\tilde{R}_a = \sqrt{a^2 + (x'-x)^2 + (d+h_2(x')-h_1(x))^2}$  and  $\bar{R}_a = \sqrt{a^2 + (x'-x)^2 + d^2}$ . The next step consists in simplifying the integrals by linearizing the integrand

assuming that

$$\frac{(h_2(x') - h_1(x))^2}{a^2 + (x' - x)^2 + d^2} = \mathcal{O}(\epsilon^2)$$
(A.9)

$$\frac{d(h_2(x') - h_1(x))}{a^2 + (x' - x)^2 + d^2} = \mathcal{O}(\epsilon)$$
(A.10)

Let us focus on  $I_1$ , the integral of Eq. (A.2). It can be further simplified by performing a Taylor expansion, keeping only the lower order terms and discarding the contributions smaller than  $\mathcal{O}(\epsilon^2)$ :

$$I_{1} = \int_{0}^{L} \int_{-\infty}^{+\infty} \frac{\left(1 + \frac{(h_{2}(x') - h_{1}(x))^{2}}{a^{2} + (x' - x)^{2} + d^{2}} + \frac{2d(h_{2}(x') - h_{1}(x))}{a^{2} + (x' - x)^{2} + d^{2}}\right)^{-1/2} - 1}{\sqrt{a^{2} + d^{2} + (x' - x)^{2} + d^{2}}} dx dx'$$

$$= -\frac{1}{2} \int_{0}^{L} \int_{-\infty}^{+\infty} \frac{(h_{2}(x') - h_{1}(x))^{2}}{(a^{2} + d^{2} + (x' - x)^{2})^{3/2}} dx dx'$$

$$- 2d \int_{0}^{L} \int_{-\infty}^{+\infty} \frac{(h_{2}(x') - h_{1}(x))}{(a^{2} + d^{2} + (x' - x)^{2})^{3/2}} dx dx'$$

$$+ \frac{3d^{2}}{2} \int_{0}^{L} \int_{-\infty}^{+\infty} \frac{(h_{2}(x') - h_{1}(x))^{2}}{(a^{2} + d^{2} + (x' - x)^{2})^{5/2}} dx dx' + \mathcal{O}(\epsilon^{4}).$$
(A.11)

We note that, based on parity arguments, the second integral is null. In the following, the notation  $\mathcal{O}(\epsilon^4)$  is omitted for simplicity. Performing similar Taylor expansions of the other integrands and regrouping the different terms yields:

$$E_{int}^{s-s}(h_1, h_2) = -\frac{\mu b_s^{(1)} b_s^{(2)}}{8\pi (1-\nu)} (3-\nu) \int_0^L \int_{-\infty}^{+\infty} \frac{(h_2(x') - h_1(x))^2}{(a^2 + (x'-x)^2 + d^2)^{3/2}} dx dx'$$
(A.12)

$$+\frac{3\mu b_s^{(1)} b_s^{(2)}}{8\pi (1-\nu)} \left( (6-\nu)d^2 + \frac{(1+\nu)}{2}a^2 \right) \int_0^L \int_{-\infty}^{+\infty} \frac{(h_2(x') - h_1(x))^2}{(a^2 + (x'-x)^2 + d^2)^{5/2}} dx dx' \quad (A.13)$$

$$-\frac{15\mu b_s^{(1)} b_s^{(2)}}{16\pi (1-\nu)} \left(2d^2 + (1+\nu)a^2\right) d^2 \int_0^L \int_{-\infty}^{+\infty} \frac{(h_2(x') - h_1(x))^2}{(a^2 + (x'-x)^2 + d^2)^{7/2}} dx dx'$$
(A.14)

$$+\frac{\mu b_s^{(1)} b_s^{(2)}}{2\pi (1-\nu)} \int_0^L \int_{-\infty}^{+\infty} \frac{h_1'(x) h_2'(x')}{\sqrt{a^2 + (x'-x)^2 + d^2}} dx dx'$$
(A.15)

$$-\frac{\mu b_s^{(1)} b_s^{(2)}}{4\pi (1-\nu)} d^2 \int_0^L \int_{-\infty}^{+\infty} \frac{h_1'(x) h_2'(x')}{(a^2 + (x'-x)^2 + d^2)^{3/2}} dx dx'.$$
(A.16)

In order to obtain a compact expression of these integrals, we consider that the real functions  $h_1(x)$  and  $h_2(x)$  are *L*-periodic and can be written as Fourier series:

$$h_1(x) = \sum_{n=-N}^{N} C_n^{(1)} e^{ik_n x} \quad \text{with} \quad C_{-n}^{(1)} = \bar{C}_n^{(1)}, \tag{A.17}$$

$$h_2(x) = \sum_{n=-N}^{N} C_n^{(2)} e^{ik_n x} \quad \text{with} \quad C_{-n}^{(2)} = \bar{C}_n^{(2)}, \tag{A.18}$$

where  $k_n = 2\pi n/L$  are the wave-vectors and  $C_n^{(1)}$  and  $C_n^{(2)}$  are the Fourier coefficients of  $h_1$  and  $h_2$  respectively (the overline symbol refers to the complex conjugate). The integer N can be chosen arbitrary but physically, it is related to the characteristic length of the underlying atomistic lattice (e.g. N = L/b). Injecting these Fourier series in Eq. (A.12-A.16) yields analytical expression of the different integrals. As an example, let us consider the integral of Eq. (A.12):

$$J_1 = \int_0^L \int_{-\infty}^{+\infty} \frac{(h_2(x') - h_1(x))^2}{(a^2 + (x' - x)^2 + d^2)^{3/2}} dx dx'$$
(A.19)

$$= \int_{0}^{L} \int_{-\infty}^{+\infty} \frac{\left(\sum_{n=-N}^{N} C_{n}^{(2)} e^{ik_{n}x'} - C_{n}^{(1)} e^{ik_{n}x}\right)^{2}}{(a^{2} + d^{2} + (x' - x)^{2})^{3/2}} dx dx'$$
(A.20)

$$=\sum_{n=-N}^{N}\sum_{m=-N}^{N}C_{n}^{(1)}C_{m}^{(1)}\int_{0}^{L}\int_{-\infty}^{+\infty}\frac{e^{i(k_{n}+k_{m})x}}{(a^{2}+d^{2}+(x'-x)^{2})^{3/2}}dxdx'$$
(A.21)

$$+\sum_{n=-N}^{N}\sum_{m=-N}^{N}C_{n}^{(2)}C_{m}^{(2)}\int_{0}^{L}\int_{-\infty}^{+\infty}\frac{e^{i(k_{n}+k_{m})x'}}{(a^{2}+d^{2}+(x'-x)^{2})^{3/2}}dxdx'$$
(A.22)

$$-2\sum_{n=-N}^{N}\sum_{m=-N}^{N}C_{n}^{(1)}C_{m}^{(2)}\int_{0}^{L}\int_{-\infty}^{+\infty}\frac{e^{i(k_{n}x+k_{m}x')}}{(a^{2}+d^{2}+(x'-x)^{2})^{3/2}}dxdx'$$
(A.23)

The first sum (Eq. (A.21)) (and similarly the second sum Eq. (A.22)) can be easily computed:

$$S_{1} = \sum_{n=-N}^{N} \sum_{m=-N}^{N} C_{n}^{(1)} C_{m}^{(1)} \int_{0}^{L} e^{i(k_{n}+k_{m})x} \left( \int_{-\infty}^{+\infty} \frac{dx'}{(a^{2}+d^{2}+(x'-x)^{2})^{3/2}} \right) dx$$
$$= \sum_{n=1}^{N} \frac{4L|C_{n}^{(1)}|^{2}}{a^{2}+d^{2}} dx,$$
(A.24)

487 because  $\int_0^L e^{i(k_n+k_m)x} dx = 1$  iff n = -m and 0 otherwise.

The cross product (Eq. (A.23)) can also be reduced and expressed as function of modified Bessel functions of the first kind:

$$S_{3} = -2\sum_{n=-N}^{N}\sum_{m=-N}^{N} C_{n}^{(1)}C_{m}^{(2)} \int_{0}^{L} e^{i(k_{n}+k_{m})x} \left(\int_{-\infty}^{+\infty} \frac{e^{ik_{m}(x'-x)}}{(a^{2}+d^{2}+(x'-x)^{2})^{3/2}}dx'\right)dx$$
$$= -\sum_{n=1}^{N}\frac{4L(C_{n}^{(1)}\bar{C}_{n}^{(2)}+\bar{C}_{n}^{(1)}C_{n}^{(2)})}{\sqrt{a^{2}+d^{2}}}k_{n}K_{1}(\sqrt{a^{2}+d^{2}}k_{n}).$$
(A.25)

Finally, the integral  $J_1$  can be expressed analytically as function of the Fourier coefficients  $C_n^{(1)}$  and  $C_n^{(2)}$ :

$$J_1 = 4L \sum_{n=1}^{N} \frac{|C_n^{(1)}|^2 + |C_n^{(2)}|^2}{a^2 + d^2} - \frac{C_n^{(1)}\bar{C}_n^{(2)} + C_n^{(2)}\bar{C}_n^{(1)}}{\sqrt{a^2 + d^2}} k_n K_1(\sqrt{a^2 + d^2}k_n).$$
(A.26)

<sup>492</sup> The same steps give:

$$J_2 = 4L \sum_{n=1}^{N} \frac{2(|C_n^{(1)}|^2 + |C_n^{(2)}|^2)}{3(a^2 + d^2)^2} - \frac{C_n^{(1)}\bar{C}_n^{(2)} + C_n^{(2)}\bar{C}_n^{(1)}}{3(a^2 + d^2)} k_n^2 K_2(\sqrt{a^2 + d^2}k_n), \quad (A.27)$$

$$J_{3} = 4L \sum_{n=1}^{N} \frac{8(|C_{n}^{(1)}|^{2} + |C_{n}^{(2)}|^{2})}{15(a^{2} + d^{2})^{3}} - \frac{C_{n}^{(1)}\bar{C}_{n}^{(2)} + C_{n}^{(2)}\bar{C}_{n}^{(1)}}{15(a^{2} + d^{2})^{3/2}}k_{n}^{3}K_{3}(\sqrt{a^{2} + d^{2}}k_{n}).$$
(A.28)

<sup>493</sup> The fourth integral of Eq. (A.15) can also be expressed as function of modified <sup>494</sup> Bessel functions:

$$J_{4} = \int_{0}^{L} \int_{-\infty}^{+\infty} \frac{h_{1}'(x)h_{2}'(x')}{\sqrt{a^{2} + (x' - x)^{2} + d^{2}}} dx' dx$$
  

$$= -\sum_{n=-N}^{N} \sum_{m=-N}^{N} C_{n}^{(1)} C_{m}^{(2)} k_{n} k_{m} \int_{0}^{L} \int_{-\infty}^{+\infty} \frac{e^{i(k_{n}x + k_{m}x')}}{\sqrt{a^{2} + (x' - x)^{2} + d^{2}}} dx' dx$$
  

$$= -\sum_{n=-N}^{N} \sum_{m=-N}^{N} C_{n}^{(1)} C_{m}^{(2)} k_{n} k_{m} \int_{0}^{L} e^{i(k_{n} + k_{m})x} \left( \int_{-\infty}^{+\infty} \frac{e^{ik_{m}(x' - x)} dx'}{\sqrt{a^{2} + (x' - x)^{2} + d^{2}}} \right) dx$$
  

$$= 2L \sum_{n=1}^{N} \left( C_{n}^{(1)} \bar{C}_{n}^{(2)} + C_{n}^{(2)} \bar{C}_{n}^{(1)} \right) k_{n}^{2} K_{0}(\sqrt{a^{2} + d^{2}} k_{n}).$$
(A.29)

<sup>495</sup> Similarly, we obtain

$$J_5 = 2L \sum_{n=1}^{N} \left( C_n^{(1)} \bar{C}_n^{(2)} + C_n^{(2)} \bar{C}_n^{(1)} \right) \frac{k_n^3}{\sqrt{a^2 + d^2}} K_1(\sqrt{a^2 + d^2}k_n).$$
(A.30)

496 Combining all the different terms yields the following interaction energy for the497 screw contribution:

$$E_{int}^{s-s} = \frac{\mu b_s^{(1)} b_s^{(2)}}{2\pi} L \frac{(d^4 + 3a^2 d^2 - 2a^4)}{(a^2 + d^2)^3} \sum_{n=1}^N \left( |C_n^{(1)}|^2 + |C_n^{(2)}|^2 \right) + \frac{\mu b_s^{(1)} b_s^{(2)}}{2\pi (1 - \nu)} L \sum_{n=1}^N \left( C_n^{(1)} \bar{C}_n^{(2)} + C_n^{(2)} \bar{C}_n^{(1)} \right) \left[ 2k_n^2 K_0 (\sqrt{a^2 + d^2} k_n) + \frac{((3 - \nu) - d^2 k_n^2)k_n}{\sqrt{a^2 + d^2}} K_1 (\sqrt{a^2 + d^2} k_n) - \frac{\left( (6 - \nu)d^2 + \frac{(1 + \nu)a^2}{2} \right)}{a^2 + d^2} k_n^2 K_2 (\sqrt{a^2 + d^2} k_n) + \frac{\left( d^2 + \frac{(1 + \nu)a^2}{2} \right) d^2}{(a^2 + d^2)^{3/2}} k_n^3 K_3 (\sqrt{a^2 + d^2} k_n) \right]$$
(A.31)

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